

01-02-02

JC904 U.S. PTO
12/27/01

Please type a plus sign (+) inside this box ☐

Attorney Docket P2930R1C2

PATENT

EL: 889 331 039 US Express Mail Number

December 27, 2001: Date of Deposit

JC996 U.S. PTO
10/033244
12/27/01

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

BOX PATENT APPLICATION
Assistant Commissioner of Patents
Washington, D.C. 20231

NON-PROVISIONAL APPLICATION TRANSMITTAL UNDER 37 CFR 1.53(b)

Transmitted herewith for filing is a non-provisional patent application:

Inventor(s) (or Application "Identifier"):

David Botstein, Belmont, CA
Luc Desnoyers, San Francisco, CA
Napoleone Ferrara, San Francisco, CA
Sherman Fong, Alameda, CA
Wei-Qiang Gao, Foster City, CA
Audrey Goddard, San Francisco, CA
Austin L. Gurney, Belmont, CA
James Pan, Belmont, CA
Margaret Ann Roy, San Francisco, CA
Timothy A. Stewart, San Francisco, CA
Daniel Tumas, Orinda, CA
Colin K. Watanabe, Moraga, CA
William I. Wood, Hillsborough, CA

Title: SECRETED AND TRANSMEMBRANE POLYPEPTIDES AND NUCLEIC ACIDS
ENCODING THE SAME

1. Type of Application

- [] This application is for an original, non-provisional application.
- [] This is a non-provisional application claiming priority to provisional application no. __, filed __, the entire disclosure of which is hereby incorporated by reference.
- [X] This is a continuation application claiming priority under 35 USC §120 to US serial number 09/866,034 filed 5/25/01 which claims priority under 35 USC §120 to PCT international application numbers: PCT/US99/12252, filed June 2, 1999; PCT/US99/28634, filed December 1, 1999; PCT/US99/28551, filed December 2, 1999; PCT/US00/03565, February 11, 2000; PCT/US00/04414, filed February 22, 2000; PCT/US00/05841, filed March 2, 2000; PCT/US00/08439, filed March 30, 2000;

PCT/US00/14941, filed May 30, 2000; PCT/US00/15264, filed June 2, 2000; PCT/US00/32678, filed December 1, 2000; and which claims priority under 35 USC § 119 to US provisional application numbers: 60/095,325, filed August 4, 1998; 60/112,851, filed December 16, 1998; 60/113,145, filed December 16, 1998; 60/113,511, filed December 22, 1998; 60/115,558, filed January 12, 1999; 60/115,565, filed January 12, 1999; 60/115,733, filed January 12, 1999; 60/119,341, filed February 9, 1999; 60/119,537, filed February 10, 1999; 60/119,965, filed February 12, 1999; 60/162,506, filed October 29, 1999; 60/170,262, filed December 9, 1999; 60/187,202, filed March 3, 2000, the entire disclosures of which are hereby incorporated by reference.--

2. **Papers Enclosed Which Are Required For Filing Date Under 37 CFR 1.53(b) (Non-provisional)**

131 pages of specification
3 pages of claims
1 page(s) of abstract
18 sheet(s) of drawings
☒ formal ☐ informal

3. **Declaration or Oath**

(for new and CIP applications; also for Cont./Div. where inventor(s) are being added)
 ___ An executed declaration of the inventor(s) ☐ is enclosed ☐ will follow.

(for Cont./Div. where inventorship is the same or inventor(s) being deleted)
X A copy of the executed declaration/oath filed in the prior application is enclosed (37 CFR 1.63(d)).

(for Cont./Div. where inventor(s) being deleted)
 ___ A signed statement is attached deleting inventor(s) named in the prior application (see 37 CFR 1.63(d)(2) and 1.33(b)).

4. **Assignment**

(for new and CIP applications)
 ___ An Assignment of the invention to GENENTECH, INC. ☐ is enclosed with attached Recordation Form Cover Sheet ☐ will follow.

(for cont./div.)
X The prior application is assigned of record to Genentech, Inc.

5. **Amendments (for continuation and divisional applications)**

___ Cancel in this application original claims ___ of the prior application before calculating the filing fee. (At least one original independent claim must be retained for filing purposes.)

- X A preliminary amendment is enclosed. (Claims added by this amendment have been properly numbered consecutively beginning with the number next following the highest numbered original claim in the prior application.)

6. Fee Calculation (37 CFR 1.16)

The fee has been calculated as follows:

CLAIMS FOR FEE CALCULATION					
Number Filed		Number Extra		Rate	Basic Fee 37 CFR 1.16(a)
					\$710.00
Total Claims	6	- 20 =	0	X \$18.00	\$0.00
Independent Claims	1	- 3 =	0	X \$80.00	\$0.00
Multiple dependent claim(s), if any				+ \$270.00	\$0.00
Filing Fee Calculation					\$710.00

7. Method of Payment of Fees

The Commissioner is hereby authorized to charge Deposit Account No. 07-0630 in the amount of \$710.00. **A duplicate copy of this transmittal is enclosed.**

8. Authorization to Charge Additional Fees

The Commissioner is hereby authorized to charge any additional fees required under 37 CFR §1.16 and 1.17, or credit overpayment to Deposit Account No. 07-0630. **A duplicate copy of this sheet is enclosed.**

9. Additional Papers Enclosed

- ☐ Information Disclosure Statement (37 CFR §1.98) w/ PTO-1449 and citations
- ☒ Submission of electronic and paper copy of Sequence Listing. I hereby state that the Sequence Listing submitted herewith is submitted in paper copy and a computer-readable diskette, and that the information recorded in computer readable form is identical to the written sequence listing. I further state that this submission includes no new matter.
- ☒ Other: Post card.

10. Maintenance of Copendency of Prior Application (for continuation and divisional applications)
[This item must be completed and the necessary papers filed in the prior application if the period set in the prior application has run]

_____ A petition, fee and/or response has been filed to extend the term in

T02337-443607

_____ A copy of the petition for extension of time in the **prior** application is attached.

X Address all future communications to:

Respectfully submitted,
GENENTECH, INC.

GENENTECH, INC.
By: Elizabeth M. Barnes
Elizabeth M. Barnes, Ph.D.
Reg. No. 35,059
Telephone No. (650) 225-4563



09157

PATENT TRADEMARK OFFICE

PATENT APPLICATION SERIAL NO. _____

U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICE
FEE RECORD SHEET

01/04/2002 EHAILE1 00000054 070630 10033244

01 FC:101 740.00 CH